

# **ANNUAL SYNAR REPORT**

**42 U.S.C. 300x-26**

OMB No 0930-0222

**FFY 2010**

**State: WYOMING**



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Substance Abuse and Mental Health Services Administration  
Center for Substance Abuse Prevention  
[www.samhsa.gov](http://www.samhsa.gov)

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## INTRODUCTION

The Annual Synar Report (ASR) format provides the means for States to comply with the reporting provisions of the Public Health Service Act (42 U.S.C. 300x-26) and the Tobacco Regulation for the SAPT Block Grant (45 C.F.R. 96.130 (e)).

Public reporting burden for the collection of information is estimated to average 15 hours for Section I and 3 hours for Section II, including the time for reviewing instructions, completing and reviewing the collection of information, searching existing data sources, and gathering and maintaining the data needed. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to SAMHSA Reports Clearance Officer; Paperwork Reduction Project; 1 Choke Cherry Road, 7th Floor Rockville, Maryland 20857.

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 10-31-2010.

### **How the Synar report helps the Center for Substance Abuse Prevention**

In accordance with the tobacco regulations, States are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2009 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2010 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate State compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist States<sup>1</sup> by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including State Synar Program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and on-site technical assistance consultation.

### **How the Synar report can help States**

The information gathered for the Synar report can help States describe and analyze sub-State needs for program enhancements. These data can also be used to report to the State legislature and other State and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from State Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of State progress in implementing Synar, including State difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

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<sup>1</sup>The term State is used to refer to all the States and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

## Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2413 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or e-mail using the directory provided in the FY 2010 Uniform Application, Appendix A. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (240) 276-1422.

## Where and when to submit the Synar report

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2009. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

The State must upload one copy of the ASR using the online WebBGAS (Block Grant Application System). In addition, the following items must be uploaded to WebBGAS:

- FFY 2010 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1-5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4 and 5, and Forms 2 and 3, if applicable, (in Excel) to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections.

Each State SSA Director has been e-mailed a login ID and password to log onto the Synar section of the WebBGAS site.

Additionally, the State must submit one signed original of the report (including the signed Funding Agreements/Certifications), as well as one additional copy of the signed Funding Agreements/Certifications, to the Grants Management Officer at the address below:

Ms. Barbara Orlando  
Grants Management Officer  
Office of Program Services  
Division of Grants Management  
Substance Abuse and Mental Health Services Administration

### Regular Mail:

1 Choke Cherry Road, Rm.7-1091  
Rockville, Maryland 20857

### Overnight Mail:

1 Choke Cherry Road, Rm.7-1091  
Rockville, Maryland 20850

## FFY 2010: FUNDING AGREEMENTS/CERTIFICATIONS

The following form must be signed by the Chief Executive Officer or an authorized designee and submitted with this application. Documentation authorizing a designee must be attached to the application.

### **PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT**

42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below.

### **SYNAR SURVEY SAMPLING METHODOLOGY**

The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2010 is up-to-date and approved by the Center for Substance Abuse Prevention.

### **SYNAR SURVEY INSPECTION PROTOCOL**

The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2010 is up-to-date and approved by the Center for Substance Abuse Prevention.

**State:** WYOMING

**Name of Chief Executive Officer or Designee:** Brent D. Sherard, M.D., M.P.H., F.A.C.P.

**Signature of CEO or Designee:**

**Title:** Director and State Health Officer

**Date Signed:**

**If signed by a designee, a copy of the designation must be attached.**

## SECTION I: FFY 2009 (Compliance Progress)

### YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

42 U.S.C. 300x-26 requires the States to report information regarding the sale/distribution of tobacco products to individuals under age 18.

- 1. Please indicate any changes or additions to the State tobacco statute(s) relating to youth access since the last reporting year. If any changes were made to the State law(s) since the last reporting year, please attach a photocopy of the law to the hard copy of the ASR and also upload a copy of the State law to WebBGAS. (see 42 U.S.C. 300x-26).**

- a. Has there been a change in the *minimum sale age* for tobacco products?**

☐ Yes ☒ No

*If Yes, current minimum age:* ☐ 19 ☐ 20 ☐ 21

- b. Have there been any changes in State law that impact the State's *protocol for conducting Synar inspections*? ☐ Yes ☒ No**

*If Yes, indicate change. (Check all that apply.)*

- ☐ Changed to require that law enforcement conduct inspections of tobacco outlets  
☐ Changed to make it illegal for youth to possess, purchase or receive tobacco  
☐ Changed to require ID to purchase tobacco  
☐ Other change(s) (Please describe.) \_\_\_\_\_

- c. Have there been any changes in the law concerning *vending machines*?**

☐ Yes ☒ No

*If Yes, indicate change. (Check all that apply.)*

- ☐ Total ban enacted  
☐ Banned from location(s) accessible to youth  
☐ Locking device or supervision required  
☐ Other change(s) (Please describe.) \_\_\_\_\_

- d. Have there been any changes in State law that impact the following?**

Licensing of tobacco vendors ☐ Yes ☒ No

Penalties for sales to minors ☐ Yes ☒ No

- 2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) and the State Plan (see 42 U.S.C. 300x-51) were made public within the State prior to submission of the ASR. (Check all that apply.)**

☒ Placed on file for public review

☒ Posted on a State agency Web site (Please provide exact Web address.)

<http://www.health.wyo.gov/mhsa/prevention/index.html>

- ☒ Notice published in a newspaper or newsletter
- ☐ Public hearing
- ☐ Announced in a news release, a press conference, or discussed in a media interview
- ☒ Distributed for review as part of the SAPT Block Grant application process
- ☐ Distributed through the public library system
- ☐ Published in an annual register
- ☐ Other change(s) *(Please describe.)* \_\_\_\_\_

**3. Identify the following agency or agencies** *(see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).*

**a. The State agency(ies) designated by the Governor for oversight of the Synar requirements:**

Wyoming Department of Health, Mental Health and Substance Abuse Services Division

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

**b. The State agency(ies) responsible for conducting random, unannounced Synar inspections:**

University of Wyoming, Wyoming Survey & Analysis Center (WYSAC)

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

**c. The State agency(ies) responsible for enforcing youth tobacco access law(s):**

Wyoming Department of Health, Mental Health and Substance Abuse Services Division

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

**4. Identify the State agency(ies) responsible for tobacco prevention activities.**

Wyoming Department of Health, Mental Health and Substance Abuse Services Division

Has the responsible agency changed since last year's Annual Synar Report?

☐ Yes ☒ No

**a. Describe the coordination and collaboration that occur between the agency responsible for tobacco prevention and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies**

- ☒ Are the same
- ☐ Have a formal written memorandum of agreement
- ☐ Have an informal partnership
- ☐ Conduct joint planning activities
- ☐ Combine resources
- ☐ Have other collaborative arrangement(s) *(Please describe.)* \_\_\_\_\_

5. Please answer the following questions regarding the State's activities to enforce the youth access to tobacco law(s) in FFY 2009 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

a. Which one of the following describes the enforcement of youth access to tobacco laws carried out in your State? (Check one category only.)

- ☒ Enforcement is conducted exclusively by local law enforcement agencies.  
☐ Enforcement is conducted exclusively by State agency(ies).  
☐ Enforcement is conducted by both local and State agencies.

b. The following items concern penalties imposed for violations of youth access to tobacco laws by **LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES**. Please fill in the number requested. If State law does not allow for an item, please mark "NA" (not applicable). If a response for an item is unknown, please mark "UNK." The chart must be filled in completely.

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	Unknown	Unknown	110
Number of <u>fin es assessed</u>	Unknown	Unknown	Unknown
Number of <u>permits/licenses suspended</u>	N/A		N/A
Number of <u>permits/licenses revoked</u>	N/A		N/A
Other (Please describe.)	Citations are issued to the individual responsible for the sale, which may be the clerk OR the owner. Citation will vary by jurisdiction/county/town. Citations are only given through Wyoming Association of Sheriffs and Chiefs of Police (WASCOP) inspections as necessary. WYSAC, however, never issues citations. Law enforcement officers are available during the WYSAC inspections, but do not issue citations.	N/A	N/A

c. What additional activities are conducted in your State to support enforcement and compliance with State tobacco access law(s)? (Check all that apply.)

- ☒ Merchant education and/or training  
☐ Incentives for merchants who are in compliance (e.g., reward and reminder)  
☒ Community education regarding youth access laws  
☒ Media use to publicize compliance inspection results  
☒ Community mobilization to increase support for retailer compliance with youth access laws  
☐ Other activities (Please list.) \_\_\_\_\_

Briefly describe all checked activities:



-Retail education materials are presented at the time of the citation driven compliance inspections via the "Got ID" information. This information is presented by the law enforcement officer conducting the inspection.

-Through the Tobacco Free Wyoming Communities (TFWC), as well as Block Grant programs, communities are educated regarding youth access laws. The TFWC and Block grant programs often collaborate to increase community knowledge. They are also given the option of utilizing the "Got ID" information.

-The Wyoming Association of Sheriffs and Chiefs of Police (WASCOP) has created a press release template that is utilized for a municipality specific news release after inspections have been completed.

-Tobacco Free Wyoming Communities (TFWC) organizations, which are in every Wyoming County, work towards community mobilization to increase local support for enforcement of youth access to tobacco laws.

- d. Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey? ☐ Yes ☒ No

*If "Yes" to 5d, please describe the State's procedure for minimizing risk of bias to the survey results from retailers alerting each other to the presence of the survey teams:*

## SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the State to meet the requirements of the Synar Regulation in FFY 2009 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

6. Has the sampling methodology changed from the previous year? ☐ Yes ☒ No

*The State is required to have an approved up-to-date description of the Synar sampling methodology on file with CSAP. Please submit a copy of your Synar Survey Sampling Methodology (Appendix B). If the sampling methodology changed from the previous reporting year, these changes must be reflected in the methodology submitted.*

7. Please answer the following questions regarding the State's annual random, unannounced inspections of tobacco outlets (see 45 C.F.R. 96.130(d)(2)).

- a. Did the State use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data? ☒ Yes ☐ No

*If Yes, attach SSES summary tables 1, 2, 3, and 4 to the hard copy of the ASR and upload a copy of SSES tables 1-5 (in Excel) to WebBGAS. Then go to Question 8. If No, continue to Question 7b.*

- b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, and the standard error.

Unweighted RVR

Weighted RVR

Standard error (s.e.) of the (weighted) RVR \_\_\_\_\_

Fill in the blanks to calculate the right limit of the right-sided 95% confidence interval.

$$\frac{\text{RVR Estimate}}{\text{plus}} + \frac{(1.645 \times \text{Standard Error})}{(1.645 \text{ times})} = \text{Right Limit}$$

c. Fill out Form 1 in Appendix A (Forms). (Required regardless of the sample design.)

d. How were the (weighted) RVR estimate and its standard error obtained? (Check the one that applies.)

☐ Form 2 (Optional) in Appendix A (Forms) (Attach completed Form 2.)

☐ Other (Please specify. Provide formulae and calculations or attach and explain the program code and output with description of all variable names.)

e. If stratification was used, did any strata in the sample contain only one outlet or cluster this year? ☐ Yes ☐ No ☐ No stratification

If Yes, explain how this situation was dealt with in variance estimation.

f. Was a cluster sample design used? ☐ Yes ☐ No

If Yes, fill out and attach Form 3 in Appendix A (Forms 1–5), and answer the following question.

If No, go to Question 7g.

Were any certainty primary sampling units selected this year? ☐ Yes ☐ No

If Yes, explain how the certainty clusters were dealt with in variance estimation.

g. Report the following outlet sample sizes for the Synar survey.

	Sample Size
<b>Effective sample size</b> (sample size needed to meet the SAMHSA precision requirement assuming simple random sampling)	
<b>Target sample size</b> (the product of the effective sample size and the design effect)	
<b>Original sample size</b> (inflated sample size of the target sample to counter the sample attrition due to ineligibility and non-completion)	
<b>Eligible sample size</b> (number of outlets found to be eligible in the sample)	
<b>Final sample size</b> (number of eligible outlets in the sample for which an inspection was completed)	

h. Fill out Form 4 in Appendix A (Forms 1–5).

8. Did the State's Synar survey use a list frame? ☒ Yes ☐ No

*If Yes, answer the following questions about its coverage.*

a. The calendar year of the latest frame coverage study: 2007

b. Percent coverage from the latest frame coverage study: 79.6%

c. Was a new study conducted in this reporting period? ☐ Yes ☒ No

*If Yes, please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.*

d. The calendar year of the next coverage study planned: 2010

9. Has the Synar survey inspection protocol changed from the previous year?

☐ Yes ☒ No

*The State is required to have an approved up-to-date description of the Synar inspection protocol on file with CSAP. Please submit a copy of your Synar Survey Inspection Protocol (Appendix C). If the inspection protocol changed from the previous year, these changes must be reflected in the protocol submitted.*

a. Provide the inspection period: From 06/29/09 To 08/21/09  
MM/DD/YY MM/DD/YY

b. Provide the number of youth inspectors used in the current inspection year:

17

NOTE: If the State uses SSES, please ensure that the number reported in 9b matches that reported in SSES Table 4, or explain any difference.

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c. Fill out and attach Form 5 in Appendix A (Forms 1–5). (Not required if the State used the Synar Survey Estimation System (SSES) to analyze the Synar survey data.)

## SECTION II: FFY 2010 (Intended Use):

Public law 42 U.S.C. 300x-26 of the Public Health Service Act and 45 C.F.R. 96.130 (e) (4, 5) require that the States provide information on future plans to ensure compliance with the Synar requirements to reduce youth tobacco access.

**1. In the upcoming year, does the State anticipate any changes in the:**

Synar sampling methodology ☒ **Yes** ☐ **No**

Synar inspection protocol ☒ **Yes** ☐ **No**

*If changes are made in either the Synar sampling methodology or the Synar inspection protocol, the State is required to obtain approval from CSAP prior to implementation of the change and file an updated Synar Survey Sampling Methodology (Appendix B) or an updated Synar Survey Inspection Protocol (Appendix C), as appropriate.*

**2. Please describe the State's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2010. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.**

The Mental Health and Substance Abuse Services Division will continue its relationship with the Wyoming Association of Sheriffs and Chiefs of Police (WASCOP) by contracting with them to conduct on-site retail education and citation driven compliance checks. The contract for FFY 2009-2010, which became effective August 12, 2008, requires WASCOP to conduct not less than one thousand (1,000) compliance checks and educational visits for both tobacco and alcohol annually. WASCOP is contractually required to recruit and maintain at least a ninety percent (90%) participation rate from all cities with a population of four thousand (4,000) or more to participate in the tobacco compliance inspections. WASCOP will continue to increase the number of participating law enforcement agencies and officers.

Retail educational materials will be presented at the time of compliance checks. These retail education materials are known as "Got ID" packets and are created and disseminated by law enforcement during citation driven compliance visits. The educational visits will focus on the owner or manager of the establishment. The Division will continue its collaboration with the Wyoming Survey & Analysis Center (WYSAC) and WASCOP to conduct Synar inspections.

**3. Describe any challenges the State faces in complying with the Synar regulation. (Check all that apply.)**

- ☐ Limited resources for law enforcement of youth access laws
- ☒ Limited resources for activities to support enforcement and compliance with youth tobacco access laws
- ☐ Limitations in the State youth tobacco access laws
- ☐ Limited public support for enforcement of youth tobacco access laws
- ☒ Limitations on completeness/accuracy of list of tobacco outlets

- ☐ Limited expertise in survey methodology
- ☒ Laws/regulations limiting the use of minors in tobacco inspections
- ☒ Difficulties recruiting youth inspectors
- ☒ Geographic, demographic, and logistical considerations in conducting inspections
- ☐ Cultural factors (e.g., language barriers, young people purchasing for their elders)
- ☐ Issues regarding sources of tobacco under tribal jurisdiction
- ☐ Other challenges (*Please list.*) \_\_\_\_\_

*Briefly describe all checked challenges and propose a plan for each, or indicate the State's need for TA related to each relevant challenge.*

- Wyoming law enforcement agencies are required to work tremendous amounts of overtime hours. As a result of this constant overtime, and at times understaffing, agencies are often resistant to conducting compliance checks. To combat the resistance, the WASCOP contract now contains a provision requiring only a minimum of two (2) compliance checks per contract year per law enforcement agency.

-Wyoming does not require retailers to be licensed to sell tobacco products. As a result, Tobacco Free Wyoming Community (TFWC) programs must go through a labor-extensive process to ensure accuracy of the retail list. This process requires on-site visits to every tobacco retailer in the state. The state would need technical assistance in tackling this issue at the state level. The Division would need to collaborate with other state agencies and gain legislative approval to require licenses of all retailers. The Division may also collaborate with the Wyoming Attorney General's Tobacco Settlement Unit to gain information on tobacco retailers in Wyoming.

-Wyoming statute requires law enforcement personnel to be at all youth-assisted retail inspections. Youth inspectors are not allowed to travel overnight to conduct inspections, which is often a challenge in a rural state such as Wyoming. Whenever possible, youth from the local areas are incorporated in the program so that travel is not an issue.

-Wyoming has a sparse population where youth may be known by clerks of the inspected retail establishments. This makes it difficult to recruit youth. Most youth are recruited by asking previous youth inspectors to provide referrals. In this year's inspection, attempts were made to utilize youth aged 15, 16 and 17 in each area. However, after all contacts were made only one youth that was 17 could be secured. The seventeen year old was utilized in order to meet inspection requirements within the time frame allowed. All youth inspectors are required to be compensated for their participation, which may help in recruitment efforts.

-Wyoming is a frontier state, with some cities and towns being 50 to 100 miles apart. Geographically, Wyoming is the ninth largest state, but it is the least populous state in the country, which can bring a challenge for law enforcement and youth inspectors. Law enforcement must travel great distances to complete inspections, and youth inspectors are not allowed to travel overnight. Another consideration is that many of the communities in Wyoming have small populations, which sometimes leads to the youth inspector knowing the clerk at the retail establishment.

## APPENDIX A: FORMS 1–5

### FORM 1 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)

Complete Form 1 to report sampling frame and sample information and to calculate the unweighted retailer violation rate using results from the current year's Synar survey inspections.

**Instructions for Completing Form 1:** In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2010). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

1(b) Write in the name of each stratum. All strata in the State must be listed.

*If no stratification was used:*

1(a) Leave blank.

1(b) Write "State" in the first row (indicates that the whole state is a single stratum).

*Note for unstratified samples: for columns 2-5, wherever the instruction refers to "each stratum," report the specified information for the State as a whole.*

Column 2: 2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.  
2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.  
2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

Column 3: 3(a) Report the estimated number of eligible OTC outlets in the OTC outlet population in each stratum.  
3(b) Report the estimated number of eligible VM outlets in the VM outlet population in each stratum.  
3(c) Report the combined total estimated number of eligible OTC and VM outlets in the total outlet population in each stratum.

*The estimates for Column 3 can be obtained from the Synar survey sample as the weighted sum of eligible outlets by outlet type.*

Column 4: 4(a) Report the number of eligible OTC outlets for which an inspection was completed, for each stratum.  
4(b) Report the numbers of eligible VM outlets for which an inspection was completed, for each stratum.  
4(c) Report the combined total of eligible OTC and VM outlets for which an inspection was completed, for each stratum.

Column 5: 5(a) Report the number of OTC outlets found in violation of the law as a result of completed inspections, for each stratum.  
5(b) Report the number of VM outlets found in violation of the law as a result of completed inspections, for each stratum.  
5(c) Report the combined total of OTC and VM outlets found in violation of the law as a result of completed inspections, for each stratum.

Totals: For each sub-column (a-c) in Columns 2-5, provide totals for the State as a whole in the last row of the table. These numbers will be the sum of the numbers in each row for the respective column.

[illegible]

**RECORD COLUMN TOTALS ON LAST LINE (LAST PAGE ONLY IF MULTIPLE PAGES ARE NEEDED).**

**FORM 2 (Optional)****Appropriate for stratified simple or systematic random sampling designs.**

Complete Form 2 to calculate the weighted RVR. This table (in Excel form) is designed to calculate the weighted RVR for stratified simple or systematic random sampling designs, accounting for ineligible outlets and non-complete inspections encountered during the annual Synar survey.

**Instructions for Completing Form 2:** In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2010).

- Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.
- Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.
- Column 3: Report the original sample size (the number of outlets originally selected, including substitutes or replacements) for each stratum.
- Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.
- Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.
- Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(c) of Form 1 for the stratum.
- Column 7: Form 2 (in Excel form) will automatically calculate the stratum RVR for each stratum in this column. This is calculated by dividing the number of inspected eligible outlets found in violation (Column 6) by the number of inspected eligible outlets (Column 5). The State unweighted RVR will be shown in the Total row of Column 7.
- Column 8: Form 2 (in Excel form) will automatically calculate the estimated number of eligible outlets in the population for each stratum. This calculation is made by multiplying the number of outlets in the sampling frame (Column 2) times the number of eligible outlets (Column 4) divided by the original sample size (Column 3). Note that these numbers will be less than or equal to the numbers in Column 2.
- Column 9: Form 2 (in Excel form) will automatically calculate the relative stratum weight by dividing the estimated number of eligible outlets in the population for each stratum in Column 8 by the Total of the values in Column 8.
- Column 10: Form 2 (in Excel form) will automatically calculate each stratum's contribution to the State weighted RVR by multiplying the stratum RVR (Column 7) by the relative stratum weight (Column 9). The weighted RVR for the State will be shown in the Total row of Column 10.
- Column 11: Form 2 (in Excel form) automatically calculates the standard error of each stratum's RVR (Column 7). The standard error for the State weighted RVR will be shown in the Total row of Column 11.
- TOTAL: For Columns 2-6, Form 2 (in Excel form) provides totals for the State as a whole in the last row of the table. For Columns 7-11, it calculates the respective statistic for the State as a whole.



**FORM 2 (Optional) Appropriate for stratified simple or systematic random sampling designs.**

Calculation of Weighted Retailer Violation Rate										
										State: _____
										FFY: 2010
(1) Stratum Name	(2) N Number of Outlets in Sampling Frame	(3) n Original Sample Size	(4) n1 Number of Sample Outlets Found Eligible	(5) n2 Number of Outlets Inspected	(6) x Number of Outlets Found in Violation	(7) p=x/n2 Stratum Retailer Violation Rate	(8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population	(9) w=N'/Total Column 8 Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
<b>Total</b>										

- N - number of outlets in sampling frame
- n - original sample size (number of outlets in the original sample)
- n1 - number of sample outlets that were found to be eligible
- n2 - number of eligible outlets that were inspected
- x - number of inspected outlets that were found in violation
- p - stratum retailer violation rate ( $p=x/n2$ )
- N' - estimated number of eligible outlets in population ( $N'=N*n1/n$ )
- w - relative stratum weight ( $w=N'/\text{Total Column 8}$ )
- pw - stratum contribution to the weighted retailer violation rate
- s.e. - standard error of the stratum RVR

**FORM 3 (Required when a cluster design is used for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar survey data.)**

Complete Form 3 to report information about primary sampling units when a cluster design was used for the Synar survey.

**Instructions for Completing Form 3:** In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2010).

Provide information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: Sequentially number each row.

Column 2: *If stratification was used:* Write in the name of stratum. All strata in the State must be listed.

*If no stratification was used:* Write “State” in the first row to indicate that the whole state constitutes a single stratum.

Column 3: Report the number of primary sampling units (PSUs) (i.e., first-stage clusters) created for each stratum.

Column 4: Report the number of PSUs selected in the original sample for each stratum.

Column 5: Report the number of PSUs in the final sample for each stratum.

TOTALS: For Columns 3-5, provide totals for the State as a whole in the last row of the table.

Summary of Clusters Created and Sampled				
State: _____				
FFY: 2010				
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
<b>Total</b>				

**FORM 4 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)**

Complete Form 4 to provide detailed tallies of ineligible sample outlets by reasons for ineligibility and detailed tallies of eligible sample outlets with noncomplete inspections by reasons for noncompletion.

**Instructions for Completing Form 4:**

In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2010).

Column 1(a): Enter the number of sample outlets found ineligible for inspection by reason for ineligibility. Provide the total number of ineligible outlets in the row marked **“Total.”**

Column 2(a): Enter the number of eligible sample outlets with noncomplete inspections by reason for noncompletion. Provide the total number of eligible outlets with noncomplete inspections in the row marked **“Total.”**

Inspection Tallies by Reason of Ineligibility or Noncompletion			
		State: _____	
		FFY: 2010	
(1) INELIGIBLE		(2) ELIGIBLE	
Reason for Ineligibility	(a) Counts	Reason for Noncompletion	(a) Counts
Out of business		In operation but closed at time of visit	
Does not sell tobacco products		Unsafe to access	
Inaccessible by youth		Presence of police	
Private club or private residence		Youth inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive thru only/youth inspector has no driver's license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Run out of time	
Duplicate		Other noncompletion reason(s) ( <i>Describe.</i> )	
Other ineligibility reason(s) ( <i>Describe.</i> )			
<b>Total</b>		<b>Total</b>	

**FORM 5 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar survey data)**

Complete Form 5 to show the distribution of outlet inspection results by age and gender of the youth inspectors.

**Instructions for Completing Form 5:** In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2010).

Column 1: Enter the number of attempted buys by youth inspector age and gender.

Column 2: Enter the number of successful buys by youth inspector age and gender.

If the inspectors are age eligible but the gender of the inspector is unknown, include those inspections in the "OTHER" row. Calculate subtotals for males and females in rows marked SUBTOTALS. Sum SUBTOTALS for male, female, and OTHER and record in the bottom row marked TOTAL. Verify that that the TOTAL of attempted buys and successful buys equal the total for Column 4(c) and Column 5(c), respectively, on Form 1. If the totals do not match, please explain any discrepancies.

Synar Survey Inspector Characteristics		
		State: _____
		FFY: 2010
	(1) Attempted Buys	(2) Successful Buys
<b>Male</b>		
15 years		
16 years		
17 years		
18 years		
<b>Male Subtotal</b>		
<b>Female</b>		
15 years		
16 years		
17 years		
18 years		
<b>Female Subtotal</b>		
<b>Other</b>		
<b>Total</b>		

## **APPENDICES B & C: FORMS**

### Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the State's CSAP-approved sampling design and inspection protocol. These appendices, therefore, should generally describe the design and protocol and are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance written approval. To facilitate the State's completion of this section, simply "cut and paste" the previously approved sampling design (Appendix B) and inspection protocol (Appendix C).

## APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Wyoming  
FFY: 2010

### 1. What type of sampling frame is used?

- ☒ List frame (*Go to Question 2.*)  
☐ Area frame (*Go to Question 3.*)  
☐ List-assisted area frame (*Go to Question 2.*)

### 2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (*After completing this question, go to Question 4.*)

*Use the corresponding number to indicate Type of Source in the table below.*

- |   |  |
|---|--|
| 1 – Statewide commercial business list    | 4 – Statewide retail license/permit list |
| 2 – Local commercial business list        | 5 – Statewide liquor license/permit list |
| 3 – Statewide tobacco license/permit list | 6 – Other                                |

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
Department of Revenue, Sales Revenue File	6	Sales tax revenue list from the WY Dept. of Revenue. The list is compiled based on tax revenue forms required for all retailers in Wyoming. This form contains a checkbox for tobacco sales. Unfortunately, this list also contains many other non-tobacco retailers. Extensive efforts are exerted to eliminate those non-tobacco retailers.	Before sampling, Tobacco-Free Wyoming Community programs in all 23 Wyoming counties examine all outlets on the list to identify non-tobacco and other ineligible outlets. The outlets that do not sell tobacco products, are no longer in business, or are not youth accessible are eliminated from the master list. This is an annual updating method that takes place before the Synar sample is designed.

### 3. If an area frame is used, describe how area sampling units are defined and formed.

N/A

- a. Is any area left out in the formation of the area frame? ☐ Yes ☐ No

*If Yes, what percentage of the State's population is not covered by the area frame?*  
\_\_\_\_\_ %

### 4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey? ☐ Yes ☒ No

If **No**, please indicate the reason they are not included in the Synar survey.

- ☐ State law bans vending machines
- ☒ State law bans vending machines from locations accessible to youth
- ☐ State has SAMHSA approval to exempt vending machines from the survey
- ☐ Other (Please describe.) \_\_\_\_\_

**5. Which category below best describes the sample design? (Check only one.)**

- ☐ **Census** (STOP HERE: Appendix B is complete.)

**Unstratified State-wide sample:**

- ☐ Simple random sample (Go to Question 9.)
- ☐ Systematic random sample (Go to Question 6.)
- ☐ Single-stage cluster sample (Go to Question 8.)
- ☐ Multi-stage cluster sample (Go to Question 8.)

**Stratified sample:**

- ☒ Simple random sample (Go to Question 7.)
- ☐ Systematic random sample (Go to Question 6.)
- ☐ Single-stage cluster sample (Go to Question 7.)
- ☐ Multi-stage cluster sample (Go to Question 7.)
- ☐ **Other** (Please describe and go to Question 9.) \_\_\_\_\_

**6. Describe the systematic sampling methods. (After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.)**

**7. Provide the following information about stratification.**

**a. Provide a full description of the strata that are created.**

Stratified by municipality: Large (population  $\geq 3,000$ ); Small (population  $< 3,000$ )

**b. Is clustering used within the stratified sample?**

- ☐ **Yes** (Go to Question 8.)
- ☒ **No** (Go to Question 9.)

**8. Provide the following information about clustering.**

**a. Provide a full description of how clusters are formed. (If multi-stage clusters are used, give definitions of clusters at each stage.)**

**b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.**

**9. Provide the formulae for determining the effective, target, and original outlet sample sizes.**

SSES is used to calculate the effective, target, and original sample sizes.

$$n = 1 / [((s.e.)^2 / p(1 - p) + (1 / N)]$$

where s.e. = 0.0182;

p = previous year's RVR

N = total number of outlets in the current year's list frame

The target sample size equals the effective sample size times the design effect.

Original sample size = [(Target sample size) \* (1 + safety margin)] / [(accuracy rate) \* (completion rate)]

The accuracy rate used is the accuracy rate from the previous year's survey, the completion rate used is the completion rate from the previous year's survey, and the safety margin equals 15% for both strata.

WYSAC calculated separate sample sizes for the two strata. They have different frame sizes, RVRs, and accuracy and completion rates, and therefore, have two different sample sizes (see the two tables below). They ran the SSES software on the two strata separately for several reasons.

1. By doing this, they essentially have a simple random sample for each stratum (instead of a stratified sample). This simplifies analyses and calculations.
2. The separate calculations provide a more conservative sample size estimate. In other words, they're surveying MORE stores and are therefore, more accurate in their RVR estimate and have a narrower confidence interval. By separating the strata, they are more confident that our results are accurate.

SSES is used to calculate the effective, target, and original sample sizes. The design effect and accuracy and completion rates are calculated from the previous year's survey. Two separate calculations were used for each stratum. They conducted separate calculations so that they had a simple random sample under each stratum and to conservatively estimate the number of stores surveyed, yielding a narrower confidence interval.



**SSES Sample Size Calculator Table***Large Stratum***Synar Survey**

State	WY
FFY	2010
Date	5/14/2009 13:37

**Input Information**

Option for 95% Confidence Interval	One-Sided
Outlet Frame Size	369
Expected Retailer Violation Rate	5.20%
Design Effect	1
Expected Accuracy Rate	87.80%
Expected Completion Rate	95.10%
Safety Margin Used	10%

**Sample Size**

Effective Sample Size	106
Target(Minimum) Sample Size	106
Planned Original Sample Size	140

**SSES Sample Size Calculator Table***Small Strata***Synar Survey**

State	WY
FFY	2010
Date	10/13/2009 16:04

**Input Information**

Option for 95% Confidence Interval	One-Sided
Outlet Frame Size	159
Expected Retailer Violation Rate	17.60%
Design Effect	1
Expected Accuracy Rate	80.90%
Expected Completion Rate	94.44%
Safety Margin Used	3.50%

**Sample Size**

Effective Sample Size	117
Target(Minimum) Sample Size	117
Planned Original Sample Size	159

## APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: Wyoming

FFY: 2010

*Note: Upload to WebBGAS a copy of the Synar inspection form under the heading “Synar Inspection Form” and a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections under the heading “Synar Inspection Protocol.”*

### 1. How does the State Synar survey protocol address the following?

#### a. Consummated buy attempts?

- |  |  |
|--|--|
| <input type="checkbox"/> Required                                | <input checked="" type="checkbox"/> Not Permitted  |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

#### b. Youth inspectors to carry ID?

- |  |  |
|--|--|
| <input type="checkbox"/> Required                                | <input checked="" type="checkbox"/> Not Permitted  |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

#### c. Adult inspectors to enter the outlet?

- |   |  |
|---|--|
| <input type="checkbox"/> Required   | <input type="checkbox"/> Not Permitted             |
| <input checked="" type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

#### d. Youth inspectors to be compensated?

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> Required                     | <input type="checkbox"/> Not Permitted             |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

### 2. Identify the agency(ies) or entity(ies) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply.)

- ☐ Law enforcement agency(ies)  
☒ State or local government agency(ies) other than law enforcement  
☒ Private contractor(s)  
☐ Other

List the agency name(s): **The Mental Health and Substance Abuse Services Division contracts with the University of Wyoming, Wyoming Survey & Analysis Center (WYSAC).**

### 3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement issue warnings or citations to retailers found in violation of the law at the time of the inspection)?

- ☐ Always   ☐ Usually   ☐ Sometimes   ☐ Rarely   ☒ Never

**4. Describe the methods used to recruit, select, and train youth inspectors and adult supervisors.**

Minor buyers were recruited through a variety of sources. Participant minor buyers from prior years were emailed or telephoned and asked if they could recommend peers who would be interested in participating in the SYNAR inspections. In other cases, adults from local tobacco coalitions and organizations were contacted and asked to help find adolescents interested in the project. Finally, regional coordinators from the Wyoming Department of Health's "Got I.D.?" program (Tobacco Free Wyoming Communities) were solicited to assist in identifying potential buyers in their region.

Once identified, all interested youth received a written description of the program, a parent permission slip, and hire forms. Completed parent permission forms and hire forms were required for adolescents to participate in the project. To ensure consistency in buying procedure, all youth were trained to follow a written script and role-played the script with the adult escort until they mastered the buying protocol. Attempts were made to include both a male and female minor buyer on each team.

Prior to beginning the inspections, WYSAC instructed all adult escorts in Synar protocol during one two-hour training. Minors were trained by the adult supervisors upon first meeting. They were instructed to look for certain key elements in their surroundings while attempting a purchase. These elements included the location of tobacco products in the outlet, the approximate age of the clerk, gender of the clerk, and the existence of signs stating that tobacco would not be sold to minors. Youth were also encouraged to mentally note any strange circumstances that arose so that such circumstances could be included in the data record.

Minor buyers were instructed either to leave their identification in the car with the adult escort or to leave it in their homes. This protocol was required so the minor could answer honestly, "I don't have it on me," if he or she were asked for identification. Similarly, if minors were asked their age, they were instructed to reply honestly.

**5. Are there specific legal or procedural requirements instituted by the State to address the issue of youth inspectors' immunity when conducting inspections?**

a. Legal ☒ Yes ☐ No (If Yes, please describe.)

Any minor conducting inspections under W.S. § 14-3-307 (vi) shall be granted immunity from prosecution under W.S. § 14-3-304.

- b. Procedural**     ☒ **Yes**    ☐ **No** (*If Yes, please describe.*)

Youth inspectors are not permitted to have identification on them during the inspection, helping to maintain confidentiality of their identity. They are instructed to refrain from buy attempts if they knew anyone at the location. Also, no purchase is ever consummated as the youth inspectors are not permitted to take more than \$1.00 with them on inspections.

**6. Are there specific legal or procedural requirements instituted by the State to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?**

- a. Legal**     ☒ **Yes**    ☐ **No** (*If Yes, please describe.*)

Based on a determination from the Wyoming Attorney General's Office, existing Wyoming Statute requires law enforcement personnel to be present at all youth assisted retail inspections. A law enforcement officer with jurisdiction over the municipality in question was present during the inspection, either in the vehicle with the team or in an unmarked police vehicle. The officer's primary role was to observe the inspection.

- b. Procedural**     ☒ **Yes**    ☐ **No** (*If Yes, please describe.*)

All minors participating in the program must have parental approval and a signed consent form. These minor buyers are supervised by UW contracted adult supervisors. Law enforcement officers are also either present or awaiting by phone if needed.

**7. Are there any other legal or procedural requirements the State has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?**

- a. Legal**     ☐ **Yes**    ☒ **No** (*If Yes, please describe.*)

- b. Procedural**     ☒ **Yes**    ☐ **No** (*If Yes, please describe.*)

Minors are required to be 15-17 years of age and are required to be trained by an adult supervisor prior to participating in the inspections. Youth are not allowed to stay overnight away from home while traveling for inspections. Youth will also request smokeless tobacco on every fifth inspection.

## APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

*(LIST FRAME ONLY)*

State: \_\_\_\_\_  
FFY: 2010

1. Calendar year of the coverage study: \_\_\_\_\_

2. Percent coverage found: \_\_\_\_\_%

*(Provide calculation of the percent coverage.)*

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3. Provide a description of the coverage study methods and results.

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